# INFORMATION LINK

## IT Functional Consolidation Update
### Jennifer Kunz

On September 12, 2003, the Project Executive Committee (Bill Goetz – Governor's Office, Pam Sharp – Office of Management and Budget (OMB), and Curt Wolfe – Information Technology Department (ITD)) approved the Final Recommendations Report for the IT Functional Consolidation. As the migration planning process continues with each agency, issues and cost discrepancies will continue to be resolved.

The recommendations were developed from a series of meetings, discussions, and surveys with each impacted agency and can be summarized as follows:

- Eight and one half total FTEs (seven full-time positions and half of three additional positions) should be transferred to ITD on November 1, rather than the 24 FTEs required by the legislation.
- For the 15 agencies targeted for FTE transfers and consolidation by the legislation, preliminary analysis indicates that approximately $1,000,000 may be saved in the 03-05 biennium if agency equipment can be fully reused. In the 05-07 biennium, as equipment replacement cycles are implemented, savings of over $500,000 are expected.
- For the 31 agencies impacted only by consolidation, $150,000 may be saved in the 03-05 biennium if agency equipment can be fully reused. In the 05-07 biennium, savings of $103,000 are projected.
- Exemptions were recommended for the Bank of North Dakota, the Housing Finance Agency, the State Water Commission, the State Mill, the State Fair, the School for the Blind, School for the Deaf, the Seed Department, and the Adjutant General because of unique circumstances in those agencies.

Migration planning meetings and plans were completed for Department of Human Services (DHS), Workforce Safety, Job Service North Dakota (JSND), Department of Health, and the Department of Public Instruction. Preliminary migration tasks for DHS and JSND have begun and will continue over the upcoming months.

Six new positions were posted by ITD in August. In early September, interviews were granted to all qualified employees with positions affected by the consolidation's Reduction in Force (RIF). Two employees whose positions will be eliminated have now accepted employment offers from ITD and transition planning is underway. Screening of the remaining IT state government applicants is in process for the four positions that are still open.

ITD anticipates needing three more positions and the analysis of these positions is still in progress, but more information will be available soon.

Weekly lunch meetings continue to be held each Thursday for the purpose of discussing consolidation updates, concerns, and suggestions for improvement. Check the web site at http://discovernd.com/itd/consolidation for details on where and when these meetings are scheduled.

If you have any questions about the project, please contact Lynette Goroski at 328-2153 or Jennifer Kunz at 328-4474.

## Information Technology Department (ITD) Reduces Rates
### Mike Ressler

Effective on the August billing, all mainframe central processing unit (CPU) rates were reduced one cent. Central Services is now providing all printing and is billing for this service instead of ITD. ITD recovered the cost of printing by charging a fee for print lines and a one cent CPU fee.

The new rates are as follows:

| | New Rate | Old Rate |
|---|---|---|
| IBM 9672 Batch CPU | $ .69 / sec | $ .70 / sec |
| IBM 9672 CICS CPU | $ .69 / sec | $ .70 / sec |
| IBM 9672 ADABAS CPU | $ .74 / sec | $ .75 / sec |
| IBM 9672 TSO CPU | $ .69 / sec | $ .70 / sec |

Effective on the September billing, ITD reduced certain other billing rates. These reductions are the result of savings from new enterprise contracts for IBM hardware maintenance, long-distance services, and the Microsoft Select agreement.

Previously, when the costs of procuring IT services decreased, ITD would lower the corresponding rates. However, this last session the Legislature reduced ITD's general funds by $1,000,000 and instructed us to charge a fee for the procurement of IT products to make up the difference. In our final budget bill the mechanism for generating fees from procurement procedures was removed, leaving ITD with a $1,000,000 budget shortfall.

In order to make up the shortfall the rates will have to stay as is and the reductions will only be applied to those programs receiving federal funds. The reductions will be represented in the form of an allowable percentage (ex. 97% of the .69 CPU rate). ITD will continue to charge the current rate and use the excess to fund our general-funded initiatives (Prairie Public Broadcasting, Edutech, Education Technology Council, Geographic Information System, and the K-12 network). Agencies will be required to pay the total amount on the invoice, but will only be allowed to charge federally-funded programs the amount after the percentage is applied. The shortfall in federally-funded programs will need to be made up with other special or general funds.

ITD lowered software development rates at the beginning of this biennium which may provide some relief for those agencies who budgeted for these services.

ITD will work with legislative leadership during the interim in order to discourage similar legislation next biennium. This creates complexities and is a burden for agencies when accounting to the federal government. This practice also inflates ITD's service rates and shifts the burden of funding initiatives to agencies who receive little or no benefit from the programs.

The services affected have the following percentages and need to be applied for federally-funded programs:

| | Current Rate | Allowable % | Actual Rate |
|---|---|---|---|
| IBM 9672 Batch CPU | $ .69 / sec | 97 % | $ .67 / sec |
| IBM 9672 CICS CPU | $ .69 / sec | 97 % | $ .67 / sec |
| IBM 9672 ADABAS CPU | $ .74 / sec | 97 % | $ .72 / sec |
| IBM 9672 TSO CPU | $ .69 / sec | 97 % | $ .67 / sec |
| DISK STORAGE | $ .005 / track | 94 % | $ .0047 / track |
| IN-STATE LONG DISTANCE | $ .06 / minute | 84 % | $ .05 / minute |
| OUT-OF-STATE LONG DISTANCE | $ .06 / minute | 84 % | $ .05 / minute |
| 800 SERVICE | $ .10 / minute | 70 % | $ .07 / minute |

All of our service rates can be found on the ITD web site (http://discovernd.com/itd/billing).

# Better Technology for Better Government
Rob Gall

North Dakotans live in a geographically large state and have been quick to realize and take advantage of the benefits of information technology. In turn, we in state government are doing our best to offer citizens the full range of e-government services they value and expect. Fiscal year 2002-2003 was another important year in North Dakota's efforts to maximize the benefits of IT. The state continues to support its business initiatives by implementing IT projects that make government more efficient and effective.

The state's IT investments are quantified in the 2002-2003 Information Technology Annual Report titled, "Better Technology for Better Government." The report provides a valuable analysis of the IT investments made this past year and highlights significant future projects as well.

The IT Annual Report fulfills legislative requirements by providing a summary of the state IT planning process, a status report on large technology projects, a description of major benefits the state is realizing from IT investments, and a review of ITD rates and performance. This year's report also includes a new section highlighting numerous smaller agency IT projects that have a major impact on

the function, accessibility, and efficiency of government services.

"Better Technology for Better Government" is available online at http://discovernd.com/itd/pubs/.  A limited number of hard copies are available.  For more information, contact Rob Gall or Mike Ressler.

# Email as a Record

ISSUE:  Should agencies and staff retain all email as a part of state records?
ANSWER:  No, but email can be a record subject to retention requirements of law.

This information is summarized from a memorandum distributed by Curt Wolfe, CIO, and Robert Harms, former Governor's Counsel, to provide cabinet and staff with guidance regarding email and its retention.  Generally, the need to retain email is a matter of judgment of the employee and the head of the agency in applying state law.  Guiding principles follow:

1. What is a "record"?  (Broadly defined)
   a. Records Management:  A record means document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business. NDCC 54-46-02 (2)
   b. Open Records: Record means recorded information of any kind, regardless of the physical form or characteristic by which the information is stored, recorded or reproduced, which is in the possession or custody of a public entity or its agent and which has been received or prepared for use in connection with public business or contains information relating to public business.  NDCC 44-04-17.1(15)
   c. Public business:  Means all matters that relate or may forseeably relate in any way to:
      i. The performance of the public entity's governmental functions, including any matter over which the public entity has supervision, control, jurisdiction, or advisory power, or
      ii. The public entity's use of public funds. NDCC 44-04-17.1(11)
2. Records not to be damaged or destroyed: All records…are the property of the state and may not be mutilated, destroyed, transferred, removed or otherwise damaged or disposed of, in whole or in part, except as provided by law.
3. Destruction of nonrecord materials:  Nonrecords and materials not included in the definition of "records" may be destroyed at any time unless prohibited by law.  (Drafts of letters and memorandums are nonrecords.)  NDAC 4-09-01-01(4) and (7).
4. So, is email a record?  It depends on the specific nature of the email.
   a. Some criteria:
      i. Made or received in connection with official business
      ii. Evidence of agency organization, function or activities
      iii. Contains information relating to programs, policies, decisions or transactions
   b. Some examples:
      i. Personal: "do you want to go to lunch"? (No)
      ii. Internal staff discourse, e.g. staff meetings, day to day administrative functions etc. (no)
      iii. Copies of email retained by the agency? (No)
      iv. Briefing materials prepared for the agency head? (Maybe)
      v. Internal staff discourse on policy or projects? (Maybe)
      vi. Correspondence via email? (Yes)
      vii. Email relating to transactions of official business, policy or projects, reflecting decisions, or similar activity?  (Yes)

In short, the decision requires the exercise of judgment of the employee consistent with guidance provided by the agency head and the records administrator.
- *The records administrator is to develop standards, procedures, and techniques for effective records management.*  (See "Records Management Program Manual" and "Electronic Records Management Guidelines")
- *Heads of agencies are to establish a program for the efficient and economical management of records.*  Most agencies have a program implemented.
- *The administrator in consultation with the Auditor, Attorney General, and Archivist may establish a retention schedule.*  Retention schedules exist for most agencies and are being used for maintenance and disposal of records.
- GENERAL RETENTION SCHEDULE - applies to all state agencies:
   o 450102 E-Mail Records: RETENTION: Retain in office until the record status is determined, but no more than 15 days, then delete.  If the e-mail message is an official record made or received pursuant to law or in connection with the transaction of official business, the retention period should be covered by an existing record series.

## ITD EMPLOYEE PROFILE

**Name**:  Roger Wetzel

**Job Title**:  Senior Programmer Analyst

**Section of ITD**:  Software Development

**Job Responsibilities**: I am currently the project manager for the ITD Online Work Order System project.

**Years at ITD:**  16

## Living Disaster Recovery Planning System and Business Impact Analysis Software

Larry Lee



The Risk Management Division of North Dakota has purchased a software package designed to help agencies develop disaster recovery plans.  The web-based package is titled LDRPS (Living Disaster Recovery Planning System) and was purchased from Strohl Systems.  The software resides on a server being maintained by the Information Technology Department (ITD).  Federal Homeland Security funds were used for the purchase of the software and server.

LDRPS is currently being customized to fit the needs of North Dakota agencies by Risk Management, the Division of Emergency Management, and ITD.  A basic plan template is being developed which will make the first iteration of plans a 'fill-in-the-blank' process.

Information from the ConnectND system will be used by LDRPS.  A process to refresh LDRPS data with ConnectND data on a regularly scheduled basis has been established.  This will make the recovery plans easier to maintain.  Once fully developed, ConnectND will provide employee, asset, and vendor information to LDRPS.

A business impact analysis (BIA) package was also purchased from Strohl Systems.  The BIA package will assist agencies in determining which services they provide are critical to the state of North Dakota.  The information received from the BIA process will influence how agencies develop their disaster recovery plans, allowing them to target resources to the most critical services.

The BIA package creates a web-based survey which state agencies will fill out.  It tracks the survey results, who has and hasn't completed the survey, and does statistical analysis of the results.  The package can be customized to any type of survey.  It creates yes/no questions, multiple choice, essay, and several other types of questions.

More information regarding the availability of LDRPS and the BIA package will be communicated to the agencies by the Division of Emergency Management.



### ITD Executive Management

**Curtis Wolfe**, *Chief Information Officer*
**Mike Ressler**, *Director of Operations*
**Nancy Walz**, *Associate Director of IT Planning*
**Dan Sipes**, *Associate Director of Administrative Services*
**Vern Welder**, *Associate Director of Software Development Services*
**Dean Glatt**, *Associate Director of Computer Services*
**Jerry Fossum**, *Associate Director of Telecommunication Services*
**Ardy Pfaff**, *Human Resources Director*